

## STRATEGIC OUTCOME SUPPORTED: 11 - Strong, visionary leadership.

### 1. OBJECTIVE

- 1.1. The purpose of this policy is to provide guidance and direction on the creation and management of records and to clarify responsibilities for recordkeeping within the Shire of Donnybrook.

### 2. SCOPE

- 2.1. The policy applies to all Shire of Donnybrook Balingup Elected Members, employees and outsourced contractors.
- 2.2. This policy applies to all external and internal records, which are handled, received or generated by the Shire, regardless of their physical format or media type.

### 3. DEFINITIONS

- 3.1. **Custody** means the responsibility for the care of State records usually based on their physical possession. Custody does not include legal ownership, or the right to control access to the records.
- 3.2. **Control** means the responsibility for keeping a record but does not include the responsibility for creating it.
- 3.3. **Ephemeral Records** means any record that has no continuing value to the Shire and is generally only needed for a few hours or a few days. The Shire uses the guidelines contained within the General Disposal Authority for Local Government Records to determine which records are considered ephemeral.
- 3.4. **General Disposal Authority (GDA)** a document designed to provide consistency throughout government organisations in disposal activities and decisions. It covers records common to all State organisations such as Human Resource Management and Financial and Accounting. The GDA for Local Government covers records common to local governments and may eliminate the necessity for each to prepare its own Schedule.
- 3.5. **Record** means any record of information however recorded and includes:
  - a. anything on which there is writing or Braille; or
  - b. a map, plan, diagram or graph; or
  - c. a drawing, pictorial or graphic work, or photograph; or
  - d. anything on which there are figures, marks, perforations, or symbols, having a meaning for persons qualified to interpret them; or
  - e. anything from which images, sounds or writings can be reproduced with or without the aid of anything else; or
  - f. anything on which information has been stored or recorded, either mechanically, magnetically, or electronically.

- 3.6. **Recordkeeping Plan** ensures that records are created, managed and maintained over time and disposed in accordance with legislation. It is the primary means of providing evidence of compliance with the *State Records Act 2000*. All government organisations must have a Recordkeeping Plan that is approved by the State Records Commission.

## 4. POLICY STATEMENT

- 4.1. Records are recognised as an important information resource within the Shire of Donnybrook Balingup and will ensure that appropriate practices are established to facilitate the ease of capture and management of all records which contribute to the overall efficiency and effectiveness of the organisation.

### Creation of Records

- 4.2. Employees, Elected Members and contractors will ensure that full and accurate records are created to provide evidence of business transactions and decisions and that these records will be registered in the Shire of Donnybrook Balingup's recordkeeping system.
- 4.3. All records created or received during the course of business belong to the Shire of Donnybrook Balingup not to the individuals who created them.

### Capture and Control of Records

- 4.4. All records created and received in the course of Shire's business will be captured at the point of creation (wherever possible), regardless of format, with required metadata into the recordkeeping system or appropriate business system.
- 4.5. Records created when using social media applications will also be captured in the Shire of Donnybrook Balingup's recordkeeping system.
- 4.6. Records will not be maintained in email folders, shared drives, personal drives, external storage media or personal cloud services (such as Dropbox, OneDrive, Share Point), as these lack the necessary functionality to protect business information and records over time.

### Security and Protection of Records

- 4.7. Records will be maintained in a safe and secure environment ensuring their usability, reliability, authenticity and preservation for as long as they are needed.
- 4.8. Records will not be removed from the Shire's sites unless in accordance with the approved retention and disposal schedule, they are being transferred to the Shire's archive storage provider, or they are in the custody of an officer performing official business. It is preferred that wherever possible only copies of records are removed by those officers performing official business.

### Access to Records

- 4.9. Access to the Shire's records by employees and contractors will be in accordance with designated access and security classifications and in accordance with the requirements of their role.

# COUNCIL POLICY ADM/CP-1 RECORDS MANAGEMENT



- 4.10. Access to the Shire's records by the general public will be in accordance with the *Local Government Act 1995* and the *Freedom of Information Act 1992*.
- 4.11. Access to the Shire's records by Elected Members will be via the Chief Executive Officer in accordance with the *Local Government Act 1995*.

## **Appraisal, Retention and Disposal of Records**

- 4.12. All records kept by the Shire of Donnybrook Balingup will be disposed of in accordance with the General Disposal Authority (GDA) for Local Government Records, published by the State Records Commission of Western Australia.
- 4.13. Employees and Elected Members must not personally undertake destruction of any records.
- 4.14. Records identified for destruction will be subject to review and approval by the Records Officer or the Manager of the business unit the records relate to, and the Chief Executive Officer.
- 4.15. Copies/duplicates may be disposed of after use by employees and Elected Members ensuring any such records that contain personally identifiable information or information that is not publicly available are placed into confidential destruction bins or given to the Records Officer to dispose of.

## **Roles and Responsibilities**

- 4.16. Chief Executive Officer will ensure that records and documents of the local government are properly kept for the purpose of the *Local Government Act 1995* in accordance with section 5.41(h) and any other written law and best practice standards.
- 4.17. Directors are to manage the control and custody of records during the transfer of any Shire functions, organisational restructures or the creation of new business units.
- 4.18. Managers will ensure that all employees (and contractors) under their supervision comply with this policy, associated records management procedures/guidelines and the Shire of Donnybrook Balingup's Recordkeeping Plan.
- 4.19. Employees are to create, collect and retain records relating to business activities they perform. They are to identify significant records; ensure those records are registered into the record keeping system and that all records are handled in a manner in accordance with legislation and the Shire's policies and procedures for record keeping.
- 4.20. Elected Members:
  - a. The State Records Commission's policy on Local Government Elected Members' Records requires that all records generated and received by Elected Members that relate to Shire business is subject to the *State Records Act 2000*, the Shire's Records Management Policy and Recordkeeping Plan, and as such must be retained within the Shire's recordkeeping system.
  - b. Elected Members are to refer to the Records Management Advice - Local Government Elected Members' Records on [www.wa.gov.au](http://www.wa.gov.au).

# COUNCIL POLICY ADM/CP-1 RECORDS MANAGEMENT



- c. Each Elected Member is provided with a Shire of Donnybrook Balingup email address which is to be used for electronic correspondence between the community and the Elected Members for any Shire related business.
- d. The Shire will copy each email received and sent by Elected Members using the Elected Member's email account to the Shire's recordkeeping system.
- e. Access to the copies of the emails will be restricted to:
  - i. The Elected Member; and
  - ii. The Chief Executive Officer; and
  - iii. The Records Officer; and
  - iv. The Freedom of Information Coordinator.

## 5. DELEGATION AND AUTHORISATION

5.1. NIL

## 6. LEGISLATION

- 6.1. *Corruption and Crime Commission Act 2003*
- 6.2. *Criminal Code Act Compilation Act 1913*
- 6.3. *Electronic Transactions Act 2011*
- 6.4. *Evidence Act 1906*
- 6.5. *Freedom of Information Act 1992*
- 6.6. *Interpretation Act 1984*
- 6.7. *Local Government Act 1995*
- 6.8. *State Records Act 2000*
- 6.9. State Records Commission: Principles and Standards
- 6.10. Australian Standard on Records Management: AS ISO 15489

## 7. POLICY VERSION

<b>Related Policies:</b>	NIL		
<b>Related Procedure:</b>	NIL		
<b>Responsible Department:</b>	Administration		
<b>Reviewer:</b>	Corporate Planning and Governance Officer		
<b>Review Frequency:</b>	Triennial	<b>Next Due:</b>	July 2024
<b>Version Date:</b>	22/07/2021	<b>Synergy #:</b>	NPP7979
<b>Policy Version Details</b>			
<b>Initial Adoption Date:</b>		<b>Decision Reference:</b>	
<b>Version Decision Date:</b>	21/12/2021	<b>Decision Reference:</b>	213/21
<b>Version Synopsis:</b>	<ul style="list-style-type: none"> <li>• Removed policy number 2.10 and added new policy ID ADM/CP-1; and</li> <li>• Added new scope and definitions; and</li> </ul>		

# COUNCIL POLICY ADM/CP-1 RECORDS MANAGEMENT



	<ul style="list-style-type: none"><li>• Added information to:</li><li>• Include the State Records Commissions Standard 2 to meet minimum requirements.</li><li>• Merged information from 1.11 Council Elected Members records &amp; 1.12 Use of Shire Specific Email Addresses by Elected Members.</li></ul>
--	--